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<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		<b>ATTORNEY'S DOCKET NUMBER</b> <div style="text-align: center; margin-bottom: 5px;">14321-P071WQUS</div> <b>U.S. APPLICATION NO. (If known; see 37 CFR 1.5)</b> <div style="text-align: center; background-color: #e0e0e0; border: 1px solid black; padding: 2px; display: inline-block;">107306/5 TO BE ASSIGNED</div>
INTERNATIONAL APPLICATION NO. PCT/US2004/024507	INTERNATIONAL FILING DATE 29 JULY 2004	PRIORITY DATE CLAIMED 29 JULY 2003
<b>TITLE OF INVENTION</b> <b>SELECTIVE FUNCTIONALIZATION OF CARBON NANOTUBES</b>		
<b>APPLICANT(S) FOR DO/EO/US</b> <b>STRANO ET AL.</b>		
<p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))            a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).            b. <input type="checkbox"/> has been communicated by the International Bureau.            c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))            a. <input type="checkbox"/> is attached hereto.            b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))            a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).            b. <input type="checkbox"/> have been communicated by the International Bureau.            c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.            d. <input checked="" type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p>Items 11 to 20 below concern document(s) or information included:</p> <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A preliminary amendment.</p> <p>14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p>		

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

IAP20 REQUESTED 26 JAN 2006

PTO-1390 (Rev. 07-2005)

Approved for use through 3/31/2007, OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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U.S. APPLICATION NO. (if known, see 37 CFR 1.6)	INTERNATIONAL APPLICATION NO.	ATTORNEY'S DOCKET NUMBER																																																																																																																
10314075 <b>TO BE ASSIGNED</b>	PCT/US2004/024507	11321-P071WOUS																																																																																																																
<p>20. Other items or information: CHECK &amp; POSTCARD</p>																																																																																																																		
<p>The following fees have been submitted</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 75%; padding: 5px;">21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a)).....</td> <td style="width: 25%; padding: 5px; text-align: right;">\$300</td> <td style="width: 10%; padding: 5px; text-align: right;">CALCULATIONS</td> <td style="width: 10%; padding: 5px; text-align: right;">PTO USE ONLY</td> </tr> <tr> <td colspan="2" style="padding: 5px;"><input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c))</td> <td colspan="2" style="padding: 5px; text-align: right;">\$ 300.00</td> </tr> <tr> <td colspan="2" style="padding: 5px;">If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....</td> <td colspan="2" style="padding: 5px; text-align: right;">\$ 0</td> </tr> <tr> <td colspan="2" style="padding: 5px;">All other situations.....</td> <td colspan="2" style="padding: 5px; text-align: right;">\$200</td> </tr> <tr> <td colspan="2" style="padding: 5px;">23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....</td> <td colspan="2" style="padding: 5px; text-align: right;">\$ 0</td> </tr> <tr> <td colspan="2" style="padding: 5px;">Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....</td> <td colspan="2" style="padding: 5px; text-align: right;">\$100</td> </tr> <tr> <td colspan="2" style="padding: 5px;">International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB.....</td> <td colspan="2" style="padding: 5px; text-align: right;">\$400</td> </tr> <tr> <td colspan="2" style="padding: 5px;">All other situations.....</td> <td colspan="2" style="padding: 5px; text-align: right;">\$500</td> </tr> <tr> <td colspan="2" style="padding: 5px; text-align: right;"><b>TOTAL OF 21, 22 and 23 =</b></td> <td colspan="2" style="padding: 5px; text-align: right;">900.00</td> </tr> <tr> <td colspan="2" style="padding: 5px;"><input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(l)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.</td> <td colspan="2" style="padding: 5px;"></td> </tr> <tr> <td style="width: 15%; padding: 5px;">Total Sheets</td> <td style="width: 15%; padding: 5px;">Extra Sheets</td> <td style="width: 40%; padding: 5px;">Number of each additional 50 or fraction thereof (round up to a whole number)</td> <td style="width: 30%; padding: 5px; text-align: right;">RATE</td> </tr> <tr> <td style="padding: 5px;">- 100 =</td> <td style="padding: 5px;">/50 =</td> <td style="padding: 5px;"></td> <td style="padding: 5px; text-align: right;">x \$250</td> </tr> <tr> <td colspan="2" style="padding: 5px;">-</td> <td colspan="2" style="padding: 5px; text-align: right;">\$</td> </tr> <tr> <td colspan="2" style="padding: 5px;">- Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).</td> <td colspan="2" style="padding: 5px; text-align: right;">\$</td> </tr> <tr> <td colspan="2" style="padding: 5px;">CLAIMS</td> <td colspan="2" style="padding: 5px;">NUMBER FILED</td> </tr> <tr> <td colspan="2" style="padding: 5px;">Total claims</td> <td colspan="2" style="padding: 5px; text-align: right;">24 - 20 = 4</td> </tr> <tr> <td colspan="2" style="padding: 5px;">Independent claims</td> <td colspan="2" style="padding: 5px; text-align: right;">x \$50</td> </tr> <tr> <td colspan="2" style="padding: 5px;">3 - 3 = 0</td> <td colspan="2" style="padding: 5px; text-align: right;">\$ 200.00</td> </tr> <tr> <td colspan="2" style="padding: 5px;">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td colspan="2" style="padding: 5px; text-align: right;">\$ 0</td> </tr> <tr> <td colspan="2" style="padding: 5px; text-align: right;"><b>TOTAL OF ABOVE CALCULATIONS =</b></td> <td colspan="2" style="padding: 5px; text-align: right;">\$ 1,100.00</td> </tr> <tr> <td colspan="2" style="padding: 5px;"><input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by ½.</td> <td colspan="2" style="padding: 5px;"></td> </tr> <tr> <td colspan="2" style="padding: 5px; text-align: right;"><b>SUBTOTAL =</b></td> <td colspan="2" style="padding: 5px; text-align: right;">\$ 550.00</td> </tr> <tr> <td colspan="2" style="padding: 5px;">Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).</td> <td colspan="2" style="padding: 5px; text-align: right;">+</td> </tr> <tr> <td colspan="2" style="padding: 5px; text-align: right;"><b>TOTAL NATIONAL FEE =</b></td> <td colspan="2" style="padding: 5px; text-align: right;">\$ 550.00</td> </tr> <tr> <td colspan="2" style="padding: 5px;">Fee for recording the enclosed assignment (37 CFR 1.21(h)). 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10/16/07 23

PTO-1390 (Rev. 07-2005)

Approved for use through 3/31/2007. OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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IAP20 REC'D 10/16/07 23 JAN 2007

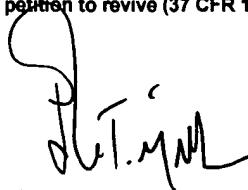
a.  A check in the amount of \$ 550.00 to cover the above fees is enclosed.

b.  Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-2426. A duplicate copy of this sheet is enclosed.

d.  Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.



SIGNATURE

Edward T. Mickelson

NAME

50,413

REGISTRATION NUMBER

SEND ALL CORRESPONDENCE TO:

Ross Spencer Garsson, Esq.  
Winstead Sechrest & Minick P.C.  
P.O. Box 50784  
Dallas, Texas 75201

Attorney Docket No.  
11321-P071WOUS

10/1566073

1AP20 Rec'd PTO/US 26 JAN 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Strano et al.  
Serial No: TO BE ASSIGNED  
Filing Date: July 29, 2004  
Title: *Selective Functionalization of Carbon Nanotubes*

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

CERTIFICATE OF EXPRESS MAILING

Express Mailing Label Number: EL812637896US

This national phase patent application, including a Transmittal Letter to the US/DO/EO Concerning a Submission Under 35 U.S.C. 371, an Application Data Sheet, a copy of WO 2005/012172 A2 and an executed Declaration, is being deposited with the U.S. Postal Service with sufficient postage as "Express Mail Post Office to Addressee" service, addressed to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on January 26, 2006.

By: J. Dunn

Printed: J. E. Dunn

WINSTEAD SECHREST & MINICK, P.C.

P.O. Box 50784  
Dallas, Texas 75250-0784  
Tel (713) 650-2632  
Fax (214) 745-5390

10/566073

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL LETTER TO THE UNITED STATES RECEIVING OFFICE

Express Mail mailing number: EL812641649US Date of deposit: 27 OCTOBER 2004

File reference no.: 11321-P071WO International application no. (if known): PCT/US04/24507

Title of the invention: SELECTIVE FUNCTIONALIZATION OF CARBON NANOTUBES

Earliest priority date claimed (Day/Month/Year): 29 JULY 2003

 This is a new International Application

## SCREENING DISCLOSURE INFORMATION:

In order to assist in screening the accompanying international application for purposes of determining whether a license for foreign transmittal should and could be granted and for other purposes, the following information is supplied. (check as many boxes as apply):

The invention disclosed was **not** made in the United States of America.

There is no prior U.S. application relating to this invention.

The following prior U.S. application(s) contain subject matter which is related to the invention disclosed in the attached international application. (NOTE: priority to these applications may or may not be claimed on the Request (form PCT/RO/101) and this listing does **not** constitute a claim for priority.)

application no.		filed on	
application no.		filed on	

The present international application contains additional subject matter not found in the prior U.S. application(s) identified above. The additional subject matter is found on pages \_\_\_\_\_ and  **DOES NOT ALTER**  **MIGHT BE CONSIDERED TO ALTER** the general nature of the invention in a manner which would require the U.S. application to have been made available for inspection by the appropriate defense agencies under 35 U.S.C. 181 and 37 C.F.R. 5.15.

## Itemized list of contents

Sheets of Request form:	Check no.:
Sheets of description (excluding sequence listing):	Return receipt postcard: yes
Sheets of claims:	Power of attorney:
Sheets of abstract:	Certified copy of priority document (specify):
Sheets of drawings:	Other (specify): POA'S (Strano, Usrey, Barone, Dyke, Tour, Kittrell, Hauge, Smalley, Rice University, University of Illinois) & Declaration of Inventors
Sheets of sequence listing:	
Sequence listing diskette/CD:	
Tables related to sequence listing CD:	

The person signing this form is:

<input type="checkbox"/> Applicant	Name of person signing  
<input checked="" type="checkbox"/> Attorney/Agent (Reg. No.) 34,011	
<input type="checkbox"/> Common Representative	

This collection of information is required by 37 CFR 1.10 and 1.412. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.